

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Baumann et al.
Filed: Herewith
For: METHOD FOR PRODUCING AN OPTICAL ARRANGEMENT

INFORMATION DISCLOSURE STATEMENT

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, pending applications, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: _____
Filing Date: _____

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) ☒ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☐ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1733 for consideration of this Statement.
- (c) ☐ Before the mailing date of a first Office Action on the merits after a first or second submission under 37 C.F.R. 1.129(a).

(d) ___ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) ___ The required certification is given below, or

(2) ___ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) ___ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1733

(e) ___ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) ___ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

(2) ___ Charge the fee set forth in 37 C.F.R. 1.17(i)(1) to Deposit Account No. 50-1733.

4. Certification (if applicable)

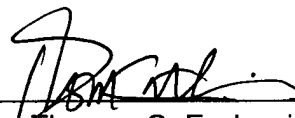
(a) ___ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) ___ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1733.

Respectfully Submitted,

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By 
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CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this paper, and the documents referred to as attached or enclosed, are being deposited with the United States Postal Service on the date set forth below in an envelope as "Express Mail Post Office to Addressee" service under 37 CFR 1.10, with the below indicated mailing label number, addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: October 16, 2003


Christine Gillroy

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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for Form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete If Known	
				Application Number	
				Filing Date	
				First Named Inventor	Baumann et al.
				Group Art Unit	
Examiner Name					
Sheet	1	of	1	Attorney Docket No.	MAIKP104US

U.S. PATENT DOCUMENTS						
Exam. Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Doc.	Date of Pub. of Cited Doc. (mm-dd-yyyy)	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	AA	5,367,584		Ghezze et al.	11/22/1994	Entire Document
	AB					
	AC					
	AD					
	AF					
	AG					
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FOREIGN PATENT DOCUMENTS								
Exam. Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Doc.	Date of Pub. of Cited Doc. (mm-dd-yyyy)	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ² (if known)				
	BA	EP	1 085 354	A2	Masayuki et al.	03/21/2001	Entire Document	
	BB							
	BF							
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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Exam. Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	CA	"GaAs-based microelectromechanical waveguide switch", OLGA BLUM SPAHN, CHARLES SULLIVAN, JEFF BURKHART, CHRIS TIGGES and ERNIE GARCIA, IEEE/LEOS International Conference on Optical MEMS, Sheraton Kauai, Resort Kauai, Hawaii, August 21024, 2000, 3 pgs.	
	CB		
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Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

US and Foreign Patent Documents: ¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Other Prior Art/Non-Patent Literature Documents: ¹Unique citation designation number. ²Applicant is to place a check mark here if English Translation is attached.

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